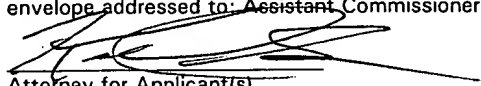


CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on June 5, 2000.

  
Attorney for Applicant(s)

1c831 U.S. PRO  
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#2

PATENT APPLICATION

Docket No. ST9-99-146

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Jan Burchhardt et al. )  
Serial No.: Not Yet Known )  
Filing Date: June 5, 2000 )  
For: REPRESENTING IMS MESSAGES AS XML )  
DOCUMENTS )

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Sir:

This Information Disclosure Statement discloses information which has come to the attention of applicants and their attorneys and is being submitted so as to comply with the duty of disclosure set forth in 37 C.F.R. § 1.56. In accordance with 37 C.F.R. § 1.97(b), this Statement is being filed within three (3) months of the filing date of the above-identified application or before the mailing date of a first Action on the merits.

Neither applicants nor their attorneys make any representation that any information disclosed herein may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or

103. Moreover, pursuant to 37 C.F.R. § 1.97, the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or as an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

In accordance with 37 C.F.R. § 1.98, this Information Disclosure Statement includes and is accompanied by:

1. A completed copy of Form PTO-1449 listing the patents, publications and other information being submitted for consideration; and
2. A legible copy of each patent, publication and other item of information in written form listed on the enclosed Form PTO-1449.

#### NON-ENGLISH INFORMATION

Pursuant to 37 C.F.R. § 1.98, following is a concise explanation of the relevance (as it is presently understood by the individual designated in 37 C.F.R. § 1.56(c) most knowledgeable about the content of the information), of each listed patent, publication or other information that is not in the English language:

1. *Japanese Patent Application No. JP11025165 published January 29, 1999*  
discloses:

Novelty - A message definition unit defines a message based on protocol of electronic transactions. The message is encoded and transmitted to an electronic transaction server (1). The transaction result is received from the server and passed to a user (3). The encoded message is decoded.

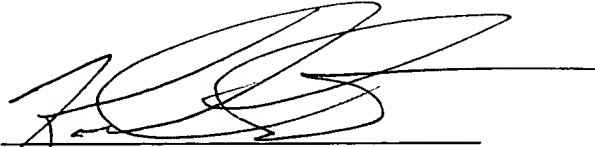
2. *European Patent Application No. EP805394 published November 5, 1997*

discloses:

The system has an object management system (13, 17, 18) with transactional properties such that each message sent to any of the objects (16, 21-25) in an object-oriented application (15) is processed as a transaction. The transactional properties provide for nested transactions since message initiated transactions(31-33) can spawn further messages which are processed as child transactions (34, 35). Each transaction are allowed to commit only when all its child transactions have terminated.

The system includes a transactional layer (14) through which all messages sent to objects pass and in that each transaction is represented by a state definition which includes a pending set of messages, which have been spawned by each transaction but for which no corresponding child transactions have yet been created by the system.

Respectfully submitted,



Kory D. Christensen  
Reg. No. 43,548  
Attorney for Applicants

Date: June 5, 2000

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CERTIFICATE OF MAILING BY "EXPRESS MAIL"

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Date of Deposit: June 5, 2000



I hereby certify that this patent application in the name of Jan Burchhardt and Shyh-Mei F. Ho for REPRESENTING IMS MESSAGES AS XML DOCUMENTS, together with the drawings, a Utility Patent Application Transmittal; a Fee Transmittal, an Assignment, a Recordation Form Cover Sheet, a joint signature Declaration, Power of Attorney, and Petition, an Information Disclosure Statement, Form PTO-1449, Copies of Cited References, and Check No. 13593 for \$910.00 are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above in an envelope addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Kory D. Christensen', written over a horizontal line.

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